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PATENT APPLICATION

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IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Robert J. Gallagher et al.

Confirmation No.: 9510

Application No.: 09/995,318

Examiner: Zeender, Florian

Filing Date: Nov. 26, 2001

Group Art Unit: 3627

Title: INTELLIGENT APPARATUS, SYSTEM AND METHOD FOR FINANCIAL DATA  
COMPUTATION AND ANALYSIS.

Mail Stop Amendment  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ( ) under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- (X) under 37 CFR 1.97 (c) together with either a:  
( ) Statement under 37 CFR 1.97(e), or  
(X) a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first);
- ( ) under 37 CFR 1.97 (d) together with a:  
( ) Statement under 37 CFR 1.97(e)(1) or (2), and  
( ) a \$180.00 fee set forth in 37 CFR 1.17(p).  
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(X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

( ) A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

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- (X) I hereby certify that this paper is being transmitted to the Patent and Trademark Office facsimile number (703) 872-9308 on June 8, 2005. Number of pages: 21

Typed Name: Judy H. Chung

Respectfully submitted,

Robert J. Gallagher et al.

By

Ashok K. Mannava

Attorney/Agent for Applicant(s)

Reg. No. 45,301

PTO/SB/DA (00-03)

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### Complete If Known

Application Number	09/895,318
Filing Date	November 26, 2001
First Named Inventor	Robert J. Gallagher
Art Unit	3627
Examiner Name	Florian M. Zeender
Attorney Docket Number	100110474-2

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Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 900. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.18 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

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